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PROCEDURE

RECORDS RECEIPT, PROCESSING,
RETRIEVAL, AND DISPOSITION

RM-06.03

Revision 0

Date Effective: 05/28/97

APPROVED:

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Sr. Vice President, Administration

5/28/97
Date

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1.0 PURPOSE

This procedure provides direction for the receipt, review, processing, maintenance and protection, retrieval, and disposition of RMRS records by the RMRS Central Records Facility (RMRS CRF) staff, as appropriate.

This procedure implements 10 CFR 830.120, *Quality Assurance Requirements*; DOE Order 5700.6C, *Quality Assurance*; 1-V41-RM-001, *Records Management Guidance for Records Sources*; and RMRS-QAPD-001, *Quality Assurance Program Description*.

2.0 SCOPE

This procedure applies to RMRS personnel and subcontractors who generate, receive, and transmit RMRS records to the RMRS CRF. This procedure applies to Quality Assurance (QA), Non-QA, and Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Administrative Records (ARs) generated for RMRS. These instructions address the following topics:

- Verifying that records received meet the acceptance criteria
- Returning deficient records to generator
- Coding records using the RMRS Records Index List
- Indexing records into the database system
- Imaging records into the Micro Dynamics Archival and Retrieval System (MARS)
- Filing records in the RMRS CRF
- Safekeeping of records, regardless of media type
- Retrieving records and viewing records images in MARS
- Processing corrections to previously processed records
- Replacing lost or damaged records
- Transmitting permanent records to the Rocky Flats Environmental Technology Site (RFETS) Records Management for archival

This procedure does not apply to: preliminary draft documents (which do not require capture into the RMRS CRF); classified documents; records generated under RFETS requirements manuals or documents, such as the Conduct of Engineering Manual; or records generated by RMRS and identified in RMRS Contract KH00003HSIA, Section H.4(b) "Subcontractor's Own Records."

This procedure replaces RMRS procedures 3-J50-ER-ADM-17.07, Records Receipt, Indexing, Filing and Retrieval, and 3-S22-ER-ADM-17.06, ERPD Records Protection, Maintenance, and Access Control.

DOCUMENT CLASSIFICATION
REVIEW WAIVER PER
CLASSIFICATION OFFICE

ADMINISTRATIVE

A-SW-002095

3.0 DEFINITIONS

For definitions, refer to RMRS Procedure RM-06.02, Records Identification, Generation and Transmittal.

4.0 RESPONSIBILITIES

4.1 RMRS Records Source

- Submits RMRS records to the RMRS CRF for processing
- Corrects deficient records returned from the RMRS CRF

4.2 RMRS Records Technical Lead

- Approves and maintains an access control list for the RMRS CRF that precludes entry of unauthorized personnel into the file area
- Develops and maintains the Records Type List to categorize records by type and retention periods

4.3 RMRS CRF Personnel

- Receive and review records against records acceptance criteria
- Code records using the Records Type List
- Index records into the records database
- Prepare and scan QA records into the MARS optical imaging system
- File hard copy records by type and retention period
- Retrieve records and copy as needed
- Train customers on accessing scanned images of records in MARS
- Transmit hard copy, scheduled records to RFETS Records Management for archival

5.0 INSTRUCTIONS

All RMRS records, except drawings, are collected, processed, protected, and dispositioned by the RMRS CRF. All RMRS personnel and subcontractors are responsible for identifying, generating, and transmitting RMRS records in accordance with procedure RM-06.02, Records Identification, Generation and Transmittal. RMRS records are designated as QA, non-QA, and/or ARs, and are identified on the RMRS Records Type List by record type, subtype, and retention period.

5.1 RMRS CRF Records Receipt and Review for Acceptance

- Date stamp each incoming record or record package upon receipt
- Verify that the records meet the criteria in Appendix 1
- Verify that groups of records or record packages are received with a completed Records Transmittal Form (RTF)
- Verify that the records described on the RTF are the actual records received

5.1.1 Return of Missing or Deficient Records

- (1) The RMRS CRF staff identifies the missing or unacceptable records on the RTF
 - Completes a Records Deficiency Form, Appendix 2
 - Returns the record(s), RTF, and the Records Deficiency Form to the Records Source
 - Maintains a suspense copy of the Records Deficiency Form until the original is returned
- (2) The Record Source corrects records, or documents Best Available Copy, in accordance with RM-06.02 and returns the record(s) and forms to the CRF within ten working days of receipt
- (3) The RMRS CRF staff signs and dates the RTF and returns a copy to the Records Source
 - The RTF number is entered into the records database with other information about the record
 - The Record Deficiency Form is filed with the record

5.2 Coding Records Using the Records Index List (RIL)

- (1) The RMRS CRF staff provides the Document Classification Code Number (DCCN) for the record as indicated on the RIL, in accordance with procedure 3-G71-ER-ADM-17.05, Records Identification.
 - New codes are also processed in accordance with procedure 3-G71-ER-ADM-17.05.
- The DCCN identifier is handwritten in ink in the upper right-hand corner of the first page or cover of the record.

Note: Records indexed prior to the RIL (November 15, 1994), do not require the DCCN code.

5.3 Indexing the Records

The RMRS CRF staff performs the following:

- (1) Index the individual record into the RFETS Record Management approved database, and identify the following elements:
 - Document Classification Code Number
 - Bar-code Number
 - Record Date
 - Received From
 - Received By
 - Document Identification Number
 - Document Revision Indicator, if appropriate
 - Subject/Title
 - Key wordsThe "comment section" is used to identify other information which would be helpful in retrieving the record.
- (2) Index records packages as one record
 - Identify the contents of the package in the *Subject-Title* field on the index
- (3) Maintain any backlog in a separate database cross-referencing the RTF number, if appropriate, and file location
- (4) Apply the bar-code sequential accession number in the upper right-hand corner of the record or the record package and ensure that no text is covered
- (5) Letters and documents sent to or received from the Department of Energy, the Colorado Department of Public Health and Environment, and or the Environmental Protection Agency are potential ARs and a copy is to be provided to the AR staff.

5.4 Scanning Records Into the MicroDynamics Archival and Retrieval System (MARS)

All QA records received by the RMRS CRF are scanned into MARS, the image verified, and the image number assigned by the system is entered into the index. (Additional instructions are contained in user manuals in the Imaging Center.)

Note: Records maintained by RMRS organizations will be reviewed by the RMRS records organization and the Quality Assurance organization to determine the value of indexing and/or imaging for dual storage and retrieval. Priorities will be determined based on the risk of damage or loss of the records. Records no longer needed to conduct business will be turned over to the RFETS Records Management organization by the Records Source in accordance with 1-V41-RM-001, and will not become part of the RMRS records system.

Note: Administrative Records may be scanned for retrieval purposes in order to preserve the integrity of the master hard copy files.

5.5 Filing Records

- (1) Firmly attach the record in a binder, folder, envelope, or other device, as appropriate, to protect from damage, loss, or rearrangement
- (2) Place the bar-code sequential number on the end tab of the folder
 - No other labels are to be placed on folders which will be transmitted to Site Records Management for archival

Note: Folders processed prior to issuance of 1-V41-RM-001 (July 2, 1997) may contain other labels.

- (3) File the record by accession number in one-hour fire rated cabinets in the RMRS CRF
 - One-of-a-kind and special process records are maintained in secured, four-hour fire-rated media safes

5.6 Safekeeping of Records

- An approved and dated Controlled Access Authorization list is posted at all entrances to the RMRS CRF
 - Personnel not on the list must be escorted and in visual contact at all times
- RMRS CRF entrance doors are locked at the end of each work day
- RMRS records in the RMRS CRF are not transmitted or checked out under any circumstances
- Customers should review/retrieve records by accessing the optical image through their individual personal computer (IBM or Macintosh)
 - RMRS CRF personnel provide assistance and/or training, as appropriate

Note: Printed copies of records generated by individuals accessing the records image must be marked "Copy" or "Information Only," and be destroyed when no longer needed.

5.7 Filing Corrections to Previously Processed Records

- Ensure that the original (previously indexed) record or records package remains in the system
- Index the records in accordance with Section 5.4 above
- Update the index to state that the new record(s) supersede the original indexed record(s)

5.8 Replacement of Lost or Damaged Records

- Ensure that replacement, restoration, or substitution of records occurs within 90 days following determination that a record has been lost or damaged to such a degree that it is no longer complete or legible
- If restoration or replacement of the record(s) is not possible:
 - Obtain written verification from the Manager
 - Update the records index to reflect the action
 - File the documentation in the RMRS CRF

5.9 Transmitting Records to Site Records Management for Archival

Space for one-hour fire rated cabinets for temporary storage of QA records is limited within the RMRS CRF. Therefore, hard copy, scheduled records will be transmitted to the RFETS Records Management organization for archival in accordance with procedure 1-V41-RM-001. Records will be reviewed and prepared for turnover on a quarterly basis.

Note: Records with a retention period less than 3 years are not transmitted to RFETS Records Management.

6.0 RECORDS

The following records generated during the performance of this procedure must be controlled as follows:

<u>Record</u>	<u>Record Type</u>	<u>Disposition</u>
Records Deficiency Form	QA	File and disposition with identified record
CRF Access Control Authorization List	QA, non- permanent	Retained for 12 months after record is superseded or canceled, then destroy

7.0 REFERENCES

- 7.1 10 CFR 830.120, Price Anderson Act
- 7.2 DOE Order 5700.6C, Quality Assurance
- 7.3 1-V41-RM-001, Records Management Guidance for Records Sources
- 7.4 RMRS-QAPD-001, Quality Assurance Program Description
- 7.5 RM-06.02, Records Identification, Generation and Transmittal
- 7.6 3-G71-ER-ADM-17.05, Records Identification

Appendix 1
RECORDS ACCEPTANCE CRITERIA

Hard Copy Records

- ___ The record is complete and all of its attachments or enclosures are included
- NOTE Each section of a records package may be numbered separately. Records printed on both sides of the paper are considered two pages.
- ___ The record should be paginated or accompanied by a RTF stating that the record is complete
- ___ Each page of the record contains the document number or unique identifier
- ___ Attachments to records contain the same document number or unique identifier as the record
- ___ Records are legible, reproducible, and microfilmable in accordance with the following:
 - ___ A clear and distinct image of the characters or pictorial information on the recording medium (paper) is formed.
 - ___ The record is printed with an indelible medium, preferably black ink, against a light background. Pencil is not acceptable for recording information on a record (may be copied).
 - ___ The viewer is able to read the record without guessing or magnification.
 - ___ The record does not contain correction fluid or correction tape of any type.
 - ___ Highlighted text is reproducible and scannable.
 - ___ A photocopy of a record is as close to the original as possible.
 - ___ No photo reductions of data are acceptable unless the image is very clear and easily legible. Letters and other characters are spaced so that the background areas between them are approximately equal. Words are clearly separated by space equal to the height of the lettering.
 - ___ The record does not have any information scratched out and obliterated or other extraneous information handwritten on the record with the exception of corrections made in accordance with RM-06.02.
 - ___ To the extent feasible, records do not contain stamps or other marks that intersect and obliterate the text.
 - ___ No portion of an page is missing due to tearing or folding of record edges that may obliterate recorded information.
 - ___ All blocks on records, including signature, are filled in, marked Not Applicable (NA), or blank sections are crossed through and initialed.
 - ___ Oversized records, such as records with the minimum dimension greater than 14 inches are rolled.
 - ___ The recording medium is not colored paper, if possible.

Electronic Records

- ___ Includes instructions/documentation for:
 - ___ retrieval and or preservation
 - ___ name or description of data
 - ___ hardware and software required
 - ___ organization or person who generated data
 - ___ identifying number or codes such as serial or volume number
 - ___ instructions for backup
- ___ Duplicate of tape or disk is provided
- ___ Disks or tapes are labeled

Appendix 2
RECORDS DEFICIENCY FORM

RFP F 5484.06 (10/95)
Formerly RF-48062

Rocky Flats Environmental Technology Site
Rocky Mountain Remediation Services, L.L.C.
RMRS Record Deficiency Form

Date ____/____/____

To: _____

From: _____

SUBJECT: RECEIPT INSPECTION OF THE FOLLOWING RECORD: RT - _____

This record has been inspected and was determined deficient for the reason(s) marked below:

- ☐ INCOMPLETE (Pages or Attachments/Enclosures missing)
- ☐ INCOMPLETE DATA AVAILABLE FOR RECORD INDEXING: Record Date - Record Title/Subject Line - Record Receiver Name and Organization - Record Author Name and Organization
- ☐ NOT PROPERLY AUTHORIZED (required signatures or date missing).
- ☐ RECORD QUALITY IS POOR AND WILL NOT PROVIDE AN ADEQUATE MICROFILM OR OPTICAL IMAGE
- ☐ OTHER (Specify): _____

PLEASE TAKE APPROPRIATE ACTION TO CORRECT THE RECORD AND RETURN
WITH THIS FORM TO THE RMRS RECORDS CENTER ON OR BEFORE: _____

Date

RECORD SOURCE REPLY:

Received Date ____/____/____

- ☐ CORRECTED COPY ATTACHED
- ☐ UNABLE TO CORRECT BECAUSE:

Record Source: _____

Date

Corrected Record Received at Records Center: _____

Date

Records Processor: _____

Date